

VERIFIED STATEMENT OF A SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(d)) - NONPROFIT ORGANIZATION

PTO/SB/11 (6-95)
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Docket Number:
0687.016/P

Applicant or Patentee: David R. Williams and Junzhong Liang
Serial or Patent No.: New Patent Application
Filed or Issued: Herewith
Title: METHOD AND APPARATUS FOR IMPROVING VISION AND THE RESOLUTION OF RETINAL IMAGES

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION University of Rochester
ADDRESS OF NONPROFIT ORGANIZATION 518 Hylan Building, Rochester, NY 14627

TYPE OF NONPROFIT ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))

☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA

☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.
☐ each such person, concern or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Robert R. Goodwin
TITLE IN ORGANIZATION OF PERSON SIGNING : Technology Licensing Associate
ADDRESS OF PERSON SIGNING: Office of Research & Project Admin., 518 Hylan Bldg., University of Rochester
Rochester, New York 14627-0140
SIGNATURE [Signature] DATE 12/31/96

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD AND APPARATUS FOR IMPROVING VISION AND THE RESOLUTION OF RETINAL IMAGES

the specification of which is attached hereto unless the following box is checked:

☐ was filed on _____ as United States Application Number or PCT International Application Number _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 USC §119			
APPLICATION NUMBER	COUNTRY	(DAY/MONTH/YEAR FILED)	PRIORITY NOT CLAIMED
			<input type="checkbox"/> NO
			<input type="checkbox"/> NO

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

PROVISIONAL APPLICATION(S) UNDER 35 U.S.C. §119(e)	
APPLICATION NUMBER	FILING DATE

I hereby claim the benefit under 35 U.S.C. §120 of any United States application, or §365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. §112.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

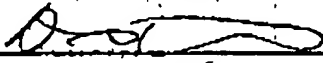
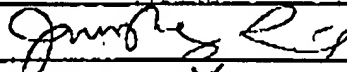
PRIOR U.S./PCT INTERNATIONAL APPLICATION(S) DESIGNATED FOR BENEFIT UNDER 37 U.S.C. §120

APPLICATION NUMBER	FILING DATE	STATUS - PATENTED, PENDING, ABANDONED

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith: Herbert Cohen, Reg. No. 25,109; Victor M. Wigman, Reg. No. 25,201; George C. Myers, Jr., 27,040; Saul Leitner, Reg. No. 22,283; Michael C. Greenbaum, Reg. No. 28,419; Michael D. White, Reg. No. 32,795; Joseph G. Seeber, Reg. No. 27,719; and Karl O. Neidert, Reg. No. 39,313.

Address all correspondence to:	WIGMAN, COHEN, LEITNER & MYERS, P.C. The Farragut Building, 10th Floor 900 17th Street, N.W., Suite 1000 Washington, D.C. 20006	Address all telephone calls to: (202) 463-7700 (202) 463-6915 (Fax)
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor (given name, family name): <u>David R. Williams</u> 1-00	
Inventor's signature: 	Date: <u>12/20/96</u>
Residence: <u>Rochester, New York</u> NY	Citizenship: U.S.A.
Post Office Address: Center for Visual Science, University of Rochester, Rochester, New York 14627	
Full name of second joint inventor (given name, family name): <u>Junzhong Liang</u> 2-00	
Inventor's signature: 	Date: <u>12/20/96</u>
Residence: <u>Rochester, New York</u> NY	Citizenship: P.R.C.
Post Office Address: 360 Quinby Road, Whipple Park, Rochester, NY 14623	
Full name of third joint inventor (given name, family name):	
Inventor's signature:	Date:
Residence:	Citizenship:
Post Office Address:	
Full name of fourth joint inventor (given name, family name):	
Inventor's signature:	Date:
Residence:	Citizenship:
Post Office Address:	

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